



Janet Napolitano
Governor

Victor M. Mendez
Director

NEW APPLICATION
ORIGINAL
Arizona Department of Transportation
Office of the Director
206 South Seventeenth Avenue Phoenix, Arizona 85007-3713



0000003313

Debra R. Brisk
Deputy Director

May 13, 2004

Railroad Safety Supervisor
Arizona Corporation Commission
1210 West Washington
Phoenix, Arizona 85007

Arizona Corporation Commission

DOCKETED

MAY 20 2004



AZ CORP COMMISSION
DOCUMENT CONTROL

2004 MAY 20 A 8:24

RECEIVED

RE: TRACS No. 0940 MA PHX SR173 01C
Project No. STP-000-6(154)P
RAIL/HIGHWAY SAFETY PROGRAM
10th Street (Phoenix)
Union Pacific Railroad Company
AAR/DOT No. 916-290-T

Dear Mr. Thompson:

RR-03639A-04-0377

Please furnish our office with an Opinion and Order to cover the installation of Signals described in the subject agreement. An agreement covering the work has been signed by the Railroad Company. A copy is attached for your information and files.

After we receive the Opinion and Order, we will send you a copy of our letter authorizing the Railroad to proceed with the work.

Sincerely,

John Syers, Railroad Engineering Coordinator
Utility & Railroad Engineering Section
205 South 17th Ave, RM 357, MD 618E
Phoenix, AZ 85007-3212
(602) 712-7541

Attachment





Jane Dee Hull
Governor

Mary E. Peters
Director

Arizona Department of Transportation

Intermodal Transportation Division
Utility & Railroad Engineering Section
205 S. 17th Ave. Mail Drop 618E Phoenix, Arizona 85007
Phone 602.712.7541 Fax 602.712.3229

Dick Wright
State Engineer

September 7, 2001

RAILROAD CROSSING PROJECT

TRACS No.: 0940 MA PHX SR173 01C
Project No.: STP-000-6(154)P
Location: 10th Street (Phoenix)
AAR/DOT No.: 916-290-T
ADOT Accounting No.: R1532BD01

RAILROAD AGREEMENT For FEDERAL AID Railroad Crossing Projects

UNION PACIFIC RAILROAD COMPANY
Agreement No. 1532-91-SPTC
RAIL/HIGHWAY SAFETY PROGRAM

SUMMARY OF ESTIMATE

	ADOT	ACC	Total
	@94.3%	@5.7%	
Preliminary Engineering:	\$10,373.00	\$627.00	\$11,000.00
Construction:			
Signals	<u>\$113,662.00</u>	<u>\$6,870.00</u>	<u>\$120,532.00</u>
	\$124,035.00	\$7,497.00	*\$131,532.00

* Railroad will invoice ADOT for 100% of total work.
Railroad will separate Preliminary Engineering costs
from Construction costs. ADOT will pay Railroad
100% of total invoice and invoice ACC for its portion.

TRACS No. 0940 MA PHX SR173 01C
Project No. STP-000-6(154)P
Agreement No. 1532-91-SPTC
EXHIBIT "A"
Sheet 1 of 2

DATE: 2001-08-22

ESTIMATE OF MATERIAL AND FORCE ACCOUNT WORK
BY THE
UNION PACIFIC RAILROAD

DESCRIPTION OF WORK:

INSTALL AC/DC TRK. CIR., STOP SIGNS, LED FL SIGNALS ON CANTS, IN NEW
DOUBLE FLAT CASE AT 10TH STREET IN PHOENIX, AZ. M.P. 908.87
SIGNAL PROJECT MANAGER: RUDY BURDEN 935-7680
RAILROAD TO PERFORM ALL WORK/COST DISTRIBUTED AS FOLLOWS:
SIGNAL - FEDERAL GOVERNMENT 100% RECOLLECTIBLE

PID: 39510 AWO: 02269 MP, SUBDIV: 908.87, PHOENIX
SERVICE UNIT: 16 CITY: PHOENIX STATE: AZ

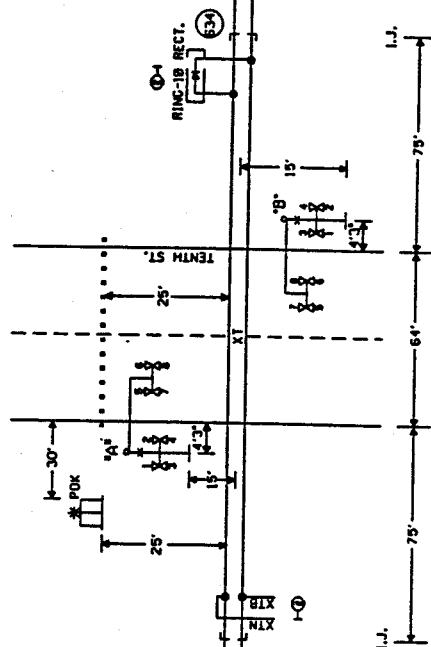
DESCRIPTION	QTY	UNIT	LABOR	MATERIAL	RECOLL	UPRR	TOTAL
ENGINEERING WORK							
ENGINEERING			679		679		679
LABOR ADDITIVE			1775		1775		1775
RECOLL-INSPE			1118		1118		1118
SIG-HWY XNG			739		739		739
TOTAL ENGINEERING			4311		4311		4311
SIGNAL WORK							
BILL PREP			900		900		900
CONTRACT				4026	4026		4026
EQUIPMENT RENTAL				3000	3000		3000
FOREIGN LINE FREIGHT				805	805		805
LABOR ADDITIVE			14889		14889		14889
MATL STORE EXPENSE				2014	2014		2014
PERSONAL EXPENSES				11993	11993		11993
ROCK				500	500		500
SALES TAX				1611	1611		1611
SIGNAL			21271	40286	61557		61557
TRANSPORTATION CHARGES				4035	4035		4035
USAGE EQUIPMENT				4040	4040		4040
WZ TRAFFIC CONTROL				5416	5416		5416
TOTAL SIGNAL			37060	77726	114786		114786
TRACK & SURFACE WORK							
LABOR ADDITIVE			200		200		200
MATL STORE EXPENSE				32	32		32
OSM				650	650		650
OTM			524	3	527		527
SALES TAX				26	26		26
TOTAL TRACK & SURFACE			724	711	1435		1435
LABOR/MATERIAL EXPENSE			42095	78437			
RECOLLECTIBLE/UPRR EXPENSE					120532	0	
ESTIMATED PROJECT COST							120532
EXISTING REUSEABLE MATERIAL CREDIT					0		
SALVAGE NONUSEABLE MATERIAL CREDIT					0		
RECOLLECTIBLE LESS CREDITS							

THE ABOVE FIGURES ARE ESTIMATES ONLY AND SUBJECT TO FLUCTUATION. IN THE EVENT OF AN INCREASE OR DECREASE IN THE COST OR QUANTITY OF MATERIAL OR LABOR REQUIRED, UPRR WILL BILL FOR ACTUAL CONSTRUCTION COSTS AT THE CURRENT EFFECTIVE RATE.

TRACS No. 0940 MA PHX SR173 01C
Project No. STP-000-6(154)P
Agreement No. 1532-91-SPTC
EXHIBIT "A"
Sheet 2 of 2

TO MAINLINE

TO END OF TRACK



NOTES:

- ① TWISTED WIRES TO BE USED FOR ALL SIGNALING PURPOSES.
- ② INSULATED WIRE SHALL BE USED FOR TRANSMITTER AND RECEIVER LEADS TO BE SEPARATED BY AT LEAST 12" IN TRENCH. LENGTHS SHOULD NOT EXCEED MANUFACTURER'S RECOMMENDATION.
- ③ TOP OF FOUNDATION TO BE AT SAME ELEVATION AS THE SURFACE OF THE TRAVELED WAY & NO MORE THAN 4" ABOVE THE SURFACE OF THE GROUND.
- ④ ALL BUNGALOW WIRING TO BE #16 AWG FLEX.
- ⑤ ALL BUNGALOW WIRING TO BE #16 AWG FLEX EXCEPT ALL GROUND WIRE TO BE #8 AWG FLEX OR LARGER.
- ⑥ REFER TO UP STANDARD DWG. FOR BUNGALOW GROUNDING.
- ⑦ DO NOT USE 7 CELLS OF 812 BATTERY UNLESS REQUIRED TO MAINTAIN MINIMUM LAMP VOLTAGE.
- ⑧ ALL LIGHTS TO BE 12" ROUNDELS.
- ⑨ ***** 4" X 80' CONDUIT
- ⑩ LIGHTS, LED LIGHTS
- ⑪ CANTILEVER A128'
- ⑫ CANTILEVER B128'
- ⑬ CRTU CEELEMETRY
- ⑭ ① = STOP SIGN

TRACS No. STP MA PHX SR173 01C
Project No. STP-000-6(154)P
Agreement No. 1532-91-SPTC
EXHIBIT "B"
Sheet 1 of 1

- CONSTRUCTION NOTES:
1. INSTALL DOUBLE FLAT CASE AT THIS LOCATION.
2. INSTALL FOUR 11LB. INSULATED JOINTS.

PHOENIX, ARIZONA
10TH STREET
M.P. 908.87
PHOENIX BUSINESS SPUR
OFF. PHOENIX SUBDIVISION
D.O.T. #916 290T

W — O — E

UNION PACIFIC RAILROAD				PHOENIX, ARIZONA				HIGHWAY CROSSING SIGNALS				CONTROL CIRCUITS				RTE.-R			
DATE 04-16-09				SHEET 1				DWG. 908.87				OFFICE OF CHIEF ENG'R				DRAWN BY			
DES. 02/04				CHK. 02/04				APP. 02/04				DES. 02/04				CHK. 02/04			
UNION PACIFIC				SIGNAL DESIGN				REV. 7-9-00 (11TKACDC)				1							
DA LAST LEVEL CHG'D.				LAST LEVEL MOD. THIS TYP.				LAST LEVEL BY DESIGNER.				CHANGED FROM TYP. 7 1/4"							
DA				CL				DO				T							

STATE OF ARIZONA
DEPARTMENT OF TRANSPORTATION

Agreement No. 1532-91-SPTC

Agreement Addendum No. 1

Company's Name: The Union Pacific Railroad Company
Address: 101 S. Watson Road, Arlington, TX 76010

The purpose of this addendum is to modify the Company name as stated herein:

WHEREAS: Agreement No. 1532-91-SPTC terms the "RAILROAD" as SOUTHERN PACIFIC TRANSPORTATION COMPANY.

WHEREAS: Agreement No. 1532-91-SPTC is revised to term the "RAILROAD" as the UNION PACIFIC RAILROAD COMPANY.

THEREFORE: The parties hereto agree that Agreement No. 1532-91-SPTC is hereby amended as shown herein. All other provisions of Agreement No. 1532-91-SPTC shall remain unabrogated.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement.

ARIZONA DEPARTMENT OF TRANSPORTATION

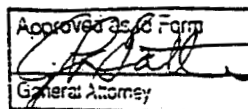
UNION PACIFIC RAILROAD COMPANY

By *Patrick Hackett*
~~WILLIAM R. BRISCOE, P.E.~~
~~Patrick Hackett~~
Utility & Railroad Engineering Section

By *Thomas J. Gee*
CHIEF ENGINEER

Date 2-18-99

Date _____



**ARIZONA DEPARTMENT OF TRANSPORTATION
HIGHWAYS DIVISION**

UTILITY AND RAILROAD ENGINEERING SECTION

MASTER
RAILROAD AGREEMENT
For
FEDERAL AID
Railroad Crossing Projects

SOUTHERN PACIFIC TRANSPORTATION COMPANY
Agreement No. 1532-91-SPTC
RAIL/HIGHWAY SAFETY PROGRAM

THIS AGREEMENT by and between SOUTHERN PACIFIC TRANSPORTATION COMPANY, a Delaware corporation, herein termed "RAILROAD," and STATE OF ARIZONA, DEPARTMENT OF TRANSPORTATION, HIGHWAYS DIVISION, herein termed "STATE".

WITNESSETH:

The parties hereto desire to set forth by this instrument their understanding and agreements with respect to the installation, at various times, of railroad warning devices and/or surface crossing materials with track rehabilitation, if required, throughout the State of Arizona, where a roadway crosses the property and tracks of RAILROAD.

AGREEMENT:

NOW THEREFORE, it is mutually agreed as follows:

1. The work to be performed by RAILROAD under this agreement is hereinafter referred to as "PROJECT".

2. RAILROAD agrees to furnish all labor, materials, tools, and equipment necessary to install such warning devices including necessary actuating and operating circuits and adequate instrument housing and/or roadway crossing materials with track rehabilitation, if required, upon its property at certain designated grade crossings.

Said installation shall comply with the latest standards prescribed by the Association of American Railroads and the Manual On Uniform Traffic Control Devices, Part VIII.

3. RAILROAD will prepare both a cost estimate, marked Exhibit "A" and a location plan marked, Exhibit "B", showing the general details of each PROJECT and send them to STATE for acceptance.

4. It is agreed that the work to be performed by RAILROAD is a part of a Federal-Aid project. Pursuant to the provisions of Federal-Aid Policy Guide Subchapter G, Part 646 Subpart B, there is no ascertainable net benefit to RAILROAD, and STATE agrees to reimburse RAILROAD for one hundred percent (100%) of the cost and expense incurred by RAILROAD in furnishing of materials and performing the work as described in the Cost Estimate, marked EXHIBIT "A", attached to and made a part hereof.

5. It is understood and agreed that the STATE is acting solely as an agent for the project sponsor in securing and administering Federal funds and STATE assumes no other liability hereunder for the project sponsor.

6. Prior to commencing construction of each PROJECT, Railroad agrees to notify STATE, in writing, of the actual construction start date. Upon completion of each PROJECT, RAILROAD agrees to notify STATE, in writing, of the actual completion date. The construction start date shall not be prior to receiving a notice to proceed from STATE. Construction progress payments shall not be made without the actual construction start date. Final payment shall not be made without the actual construction completion date.

7. The work for each PROJECT shall be performed by RAILROAD forces on an actual cost basis, and as supported by the analysis of estimated costs set forth in Exhibit "A". The actual cost shall be payable in payments as follows:

- a. RAILROAD will order the materials for each PROJECT, and may invoice the STATE upon receipt, for materials and related costs, as set forth in Exhibit "A".
- b. RAILROAD may submit monthly invoices for work performed and materials installed unless invoiced under subparagraph a.
- c. Minimum payment, except for final invoice, is \$5,000.
- d. Upon completion of all work under each PROJECT, RAILROAD shall arrange for a joint close-out inspection of the completed PROJECT. Upon determination by STATE that the work has been completed in accordance

with Exhibits "A" and "B", RAILROAD will submit final and complete invoice to the STATE. STATE agrees to pay RAILROAD the difference between the final invoice and any previous payments for PROJECT. Any amount with which STATE disagrees shall be paid under protest, subject to resolution.

- e. All invoices will be paid by STATE within sixty (60) days of receipt.

All expenses incurred by RAILROAD for work which STATE is obligated to reimburse RAILROAD hereunder, including all work incidental to such work but not specifically mentioned herein, shall be subject to the provisions of the Federal-Aid Policy Guide Subchapter B Part 140 Subpart I.

8. Pursuant to A.R.S. Sections 35-214, 35-215 and 41-1279.04, the books of RAILROAD shall be open for inspection and audit by authorized representatives of STATE and the Federal Government for a period of not less than five (5) years from the date final payment has been received by RAILROAD. State agrees to pay RAILROAD any sums found to be owing as a result of an audit within sixty (60) days of receipt of the audit by the Utility and Railroad Engineering Section of STATE. RAILROAD agrees to reimburse STATE, within sixty (60) days of notification for any amount STATE disallows as a result of its audit. Any audit exceptions with which RAILROAD disagrees shall be paid to STATE under protest subject to resolution.

9. All invoices shall contain STATE's project number and agreement number. The invoice shall be sent to:

ARIZONA DEPARTMENT OF TRANSPORTATION
Utility and Railroad Engineering Section
205 South 17th Ave. Mail Drop 618E
Phoenix, Arizona 85007-3212

10. Once installation of railroad warning devices and/or roadway crossing material has been completed, RAILROAD shall maintain, in kind, the railroad warning devices and the crossing material two feet outside of each rail as long as they remain in place. However, RAILROAD shall be entitled to receive any contribution toward the cost of such maintenance as may be now or hereafter made available by means of any law, ordinance, regulation, order, grant or by other means or sources.

11. Claims and disputes between STATE and RAILROAD involving sums less than \$100,000 and arising out of the terms of this Agreement relating to work performed, invoicing and similar matters, shall be subject to arbitration, at the request of either party, in accordance with the Construction Industry Arbitration Rules of the American Arbitration Association then obtaining; provided, however, that claims or disputes arising out of personal injury, death, property damage, or environmental incidents shall not be subject to arbitration without the concurrence of both parties, except to the extent otherwise required by the rules of Arizona courts.

12. In compliance with the regulations of the United States Department of Transportation, RAILROAD hereby agrees to comply fully with all of the provisions of Appendix "A", attached hereto and by this reference made a part of this Agreement; provided, however, that Appendix "A" shall be applicable only in those cases where RAILROAD does not perform the work contemplated in this Agreement with its own forces.

13. This Agreement is subject to the budgetary limitations set forth in Arizona Revised Statutes Subsection 28-1823 through 28-1826 inclusive and is further subject to the provisions of Chapter 1 of Title 35, Arizona Revised Statutes.

14. STATE and RAILROAD each agrees to be liable to the other party for its own acts of negligence and the negligence of its own employees.

15. This Agreement shall inure to the benefit of and be binding upon the successors and assigns of RAILROAD and the assigns of STATE.

16. RAILROAD is required to comply with Executive Order 75-5, "Non-Discrimination in Employment by Government Contractors and Subcontractors," which is hereby included in its entirety by reference and considered a part of this Agreement.

17. Pursuant to A.R.S. Subsection 38-511, STATE may cancel this Agreement, without penalty or further obligation, if any person significantly involved in initiating, negotiating, securing, drafting or creating the Agreement on behalf of STATE or any of its departments or agencies is, at any time while this Agreement or any extension of it is in effect, an employee of any other party to this Agreement with respect to the subject matter of this Agreement.

IN WITNESS WHEREOF, the parties have executed this Agreement as of the day and year
igned by both parties.

SOUTHERN PACIFIC
TRANSPORTATION COMPANY

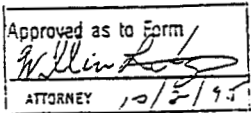
ARIZONA DEPART. OF TRANSPORTATION
HIGHWAY DIVISION

By James L. Moeller
its MANAGER-CONTRACTS

By William R. Briscoe
Manager of Utility & Railroad
Engineering Section

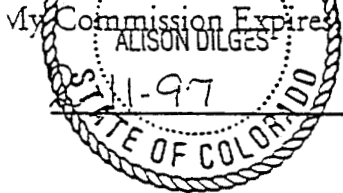
Date October 2, 1995

Date 10-17-95



STATE OF COLORADO)
) ss.
COUNTY of DENVER)

The foregoing instrument was acknowledged before me this 2nd day of October, 1995, by
Ms. J. L. Moeller, the MANAGER-CONTRACTS of SOUTHERN PACIFIC TRANSPORTA-
TION COMPANY, a Delaware corporation, on behalf of the corporation.



Notary Public

Alison Dilges

My Commission Expires 2-11-97

STATE OF ARIZONA)
) ss.
COUNTY of MARICOPA)

The foregoing instrument was acknowledged before me this 17 day of October, 1995, by
William R. Briscoe, the Manager of Utility and Railroad Engineering Section of the Arizona
Department of Transportation, on behalf of the STATE.

My Commission Expires:
Commission Expires March 23, 1999

Notary Public

Connie Marie Lee

Agreement No. 1552-91-SPTC

APPENDIX A
(Revised)

II EQUAL OPPORTUNITY

1. Selection of Labor:

During the performance of this contract, the contractor shall not discriminate against labor from any other State, possession or territory of the United States.

2. Employment Practices:

During the performance of this contract, the contractor agrees as follows:

a. The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoffs or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the State highway department setting forth the provisions of this nondiscrimination clause.

b. The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.

c. The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided by the State highway department advising the said labor union or workers' representative of the contractors commitments under this section II-2 and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

d. The contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations (41 CFR, Part 60) and relevant orders of the Secretary of Labor.

e. The contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records and accounts by the Federal Highway Administration and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations and orders.

f. In the event of the contractor's noncompliance with the non-discrimination clauses of this contract or with any of the said rules, regulations or orders, this contract may be canceled, terminated or suspended in whole or in part and the contractor may be declared ineligible for further Government contracts or Federally-assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation or order of the Secretary of Labor, or as otherwise provided by law.

g. The contractor will include the provisions of this Section II-2 in every subcontract or purchase order unless exempted by rules, regulations or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the State highway department or the Federal Highway Administration may direct as a means of enforcing such provisions including sanctions for noncompliance: Provided, however, that in the event a contractor becomes involved in, or is threatened with litigation with a subcontractor or vendor as a result of such direction by the Federal Highway Administration, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

3. Selection of Subcontractors, Procurement of Materials, and Leasing of Equipment:

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

a. Compliance With Regulations: The contractor shall comply with the Regulations relative to nondiscrimination in federally-assisted programs of the Department of Transportation, Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time. (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.

b. Nondiscrimination: The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.

c. Solicitations for Subcontracts, Including Procurements of Materials and Equipment: In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin.

d. Information and Reports: The contractor shall provide all information and reports required by the Regulations, or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the State highway department or the Federal Highway Administration to be pertinent to ascertain compliance with such Regulations or directives. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to the State highway department, or the Federal Highway Administration as appropriate, and shall set forth what efforts it has made to obtain the information.

e. Sanctions for Noncompliance: In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, the State highway department shall impose such contract sanctions as it or the Federal Highway Administration may determine to be appropriate, including, but not limited to:

- (1) withholding of payments to the contractor under the contract until the contractor complies, and/or
- (2) cancellation, termination or suspension of the contract, in whole or in part.

f. Incorporation of Provisions: The contractor shall include the provision of this paragraph 3 in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto. The contractor shall take such action with respect to any subcontractor or procurement as the State highway department or the Federal Highway Administration may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, however, that, in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request the State highway department to enter into such litigation to protect the interests of the State, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.